

# **Schedule 45-07**

## **Labor Department Unemployment Insurance Division**

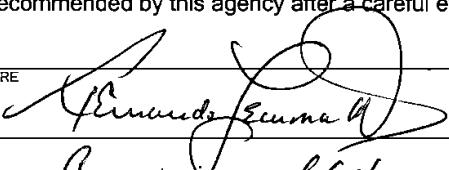
**June 3, 1999**

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL OF RECORDS  
RETENTION AND DISPOSITION SCHEDULE**

<b>TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA</b>	SCHEDULE NUMBER <b>45-7</b>
	AGENCY, BOARD OR COMMISSION <b>Department of Labor</b>
	DIVISION, BUREAU OR OTHER UNIT <b>Unemployment Insurance Division</b>
Supersedes Edition of May 23, 1990	

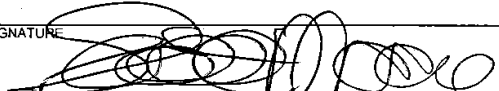
**PART I – AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.	
SIGNATURE *	
TITLE <i>Commissioner of Labor</i>	DATE <i>5/21/99</i>

**PART II – ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.	
SIGNATURE * <i>Andrea I. Faling</i>	DATE <i>May 26, 1999</i>
STATE ARCHIVIST	

**PART III – APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.	
SIGNATURE * 	DATE <i>6-3-99</i>
ADMINISTRATOR	

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 45-7 – LABOR DEPARTMENT**

### **45-7 UNEMPLOYMENT INSURANCE DIVISION**

#### **45-7-46 87-A SUMMARY**

Report listing all 87-A's printed by employer number, and the total amount contributed to the program.

**Dispose of after 2 years provided audit has been completed.<sup>1</sup>**

#### **45-7-3 BENEFIT ADJUSTMENT REGISTER**

Monthly computer report shows adjustments made on the computer to the employer being charged.

**Dispose of after 3 years.**

#### **45-7-7 BENEFIT CHECKS**

Check indicating claimants name, social security number, amount paid, and date paid.

**Transfer to the State Records Center after 2 years; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

#### **45-7-8 BENEFIT CHECK REGISTER (OBSOLETE April, 1999)**

Complete listing of all the benefit checks issued. Register includes claimant's name, social security number, amount paid, and date paid.

**Transfer to the State Records Center after 1 year; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

#### **45-7-9 BENEFIT OVERPAYMENT LISTINGS**

These are computer listings of activity involving benefit overpayments on Unemployment Insurance claims. May include: Alpha Listing (Monthly); Alpha Listing of Overpayment Balances (Monthly); Benefit Overpayment Journal (Daily); Billing Follow Up Date report (Monthly); Daily Recoup Report; ETA-227 Report; Legal Letters Mailed (Monthly) Monthly Billing Error Listing; New Claim Report; Overpayment Established and Reestablished Listing (Daily); Overpayment Follow Up Listing (Monthly).

**Transfer to the State Records Center after 2 years; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**TAPE: Dispose of after 5 years.**

#### **45-7-10 BENEFIT PAYROLL REGISTER**

A detailed listing of the daily unemployment payroll. Lists the check number, claimant to whom the check was issued, the amount of the check, and the social security number of the claimant. The listing is totaled by program, indicating how much money is spent from each program.

**Transfer to the State Records Center after 1 year; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

#### **45-7-47 BPC CROSSMATCH REPORTS**

Computer listing by match quarter of crossmatch activity from initial run through purge. Listings include all initial run statistical reports and all control reports of audit activity listed by claimant's Area Claim Center, then by social security number.

**Transfer to the State Records Center 6 months after purge; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-48 BPC INTERNET/BORDER CHECK REPORTS**

Computer listings by match quarter of Internet/Border Check activity. Listings include initial run list of records sent to MMDS Hub, listing of wage/claim hits, Internet Locator hits, and Internet duplicate claims report.

**Transfer to the State Records Center 6 months after purge; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-58 BPC STATE INCOME TAX REFUND INTERCEPT RECORDS**

May include reports and listings, such as State Income Tax Intercept Match Report, State Income Tax Intercept Match Report, State Income Tax Intercept Certification, miscellaneous documents pertaining to the State Income Tax Certification process.

**Dispose of after 5 years provided that audit has been completed.<sup>1</sup>**

**45-7-49 CASH REFUND LEDGERS**

Monthly totals of cash refunds from beneficiaries.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-12 CLAIMANT SUMMARY LISTING, MONTHLY**

Informally titled Monthly Charge Back. Is a cumulative listing of all benefits paid to claimants and their employers for the month. May include the amount of money deposited into the program, money not allowed (i.e. bad checks, etc.), money held in suspense, overpayments and voluntary contributions.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**TAPE: Erase after merged with quarterly tape.**

**45-7-13 CLEARING ACCOUNT CHECK REGISTER**

A listing by check number showing to whom the check was written, date of issuance, amount of check, and reason for issuing check.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-14 CLEARING ACCOUNT DEPOSIT REGISTER**

A detailed listing of the remittances received from employers. It shows the employer account number and the amount of the remittance received from each employer. Each group is assigned a batch number, the batch total is the amount of money received in that batch.

**Transfer to the State Records Center after 1 year; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-15 COMBINED WAGE CLAIMS (OBSOLETE April, 1999)**

Unemployed individuals who have filed an unemployment claim against Nebraska. Shows claimant's social security number, the total amount of the Unemployment Insurance Claim, and who the employers were and the wages the claimant earned from each employer.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-50 CONTRIBUTION AND BENEFIT JOURNALS**

Monthly posting of journals.

**Dispose of after 10 years.**

#### **45-7-16 CONTRIBUTION REPORTS**

A report filed quarterly by each employer indicating total wages, excess wages, subject wages, and contribution due.

**ORIGINAL RECORD:** Dispose of after 10 years; OR, microfilm and destroy originals.

**SECURITY MICROFILM:** Transfer to security storage; dispose of after 10 years.

**MICROFILM WORK COPY:** Dispose of after 10 years.

#### **45-7-18 DEPOSIT REGISTER - BENEFIT ACCT./TRA ACCT./WIN ACCT.**

Contains bank deposit slips of deposits made in these accounts.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

#### **45-7-20 EMPLOYER CONTRIBUTION REGISTER**

Listing of employer numbers of contribution reports processed in their account, amount of money involved and the date received.

**Dispose of after 2 years.**

#### **45-7-23 EMPLOYER CORRESPONDENCE NEW ACCOUNTS AND ADDITIONS FILE**

Employer liability history file. Includes determination finding based on the Nebraska Employment Security Law, correspondence, memos and copies of billings. Employer data includes subject date, delinquent date, predecessor, ownership, name, address and current status.

**ORIGINAL RECORD:** Microfilm and destroy originals.

**SECURITY MICROFILM:** Transfer to security storage; dispose of after 10 years.

**MICROFILM WORK COPY:** Dispose of after 10 years.

#### **45-7-25 EMPLOYER NAMES AND CONTRIBUTION NUMBERS ALPHA, QUARTERLY**

Alphabetical listing of subject employers and account numbers which is produced quarterly on computer output microfiche (COM).

**SECURITY MICROFICHE:** Transfer to security storage; dispose of after 5 years.

**MICROFICHE WORK COPY:** Dispose of after 3 months.

#### **45-7-51 EXCEPTION LIST**

Computer listing of data entry errors and system rejections.

**Dispose of after 1 year following the end of the fiscal year to which the records pertain provided audit has been completed.<sup>1</sup>**

#### **45-7-27 FEDERAL ID NUMBER LISTING (Quarterly) (Business)**

Listing of employers and account numbers in federal ID number order. Produced on computer output microfiche (COM).

**SECURITY MICROFICHE:** Transfer to security storage; dispose of after 5 years.

**MICROFICHE WORK COPY:** Dispose of after 3 months.



**45-7-28 FORM IB-2, CONTINUED INTERSTATE CLAIM (OBSOLETE April, 1999)**

Record is basically the same as a pay order card or non-cash voucher for claimants who have filed for unemployment in another state against an employer in Nebraska.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-52 GENERAL LEDGERS**

Monthly posting of accounts into one set of papers.

**Dispose of after 5 years.**

**45-7-57 INTERNAL SECURITY DOCUMENTS**

Various detection crossmatch, other listings and general correspondence.

May include Name/Name Crossmatch, Social Security Crossmatch, Address Crossmatch, Fictitious Employer Detection documents, telephone billings, general correspondence.

**Dispose of after 5 years.**

**45-7-29 LIABLE LISTING (Alpha Listing Business)**

Alphabetical listing of owner, business, and account number in order by owners name.

Produced on computer output microfiche (COM).

**SECURITY MICROFICHE: Transfer to security storage; dispose of after 5 years.**

**MICROFICHE WORK COPY: Dispose of after 1 year.**

**45-7-30 LIABLE LISTING (Alpha Business List), INACTIVE**

Listing of inactive employers and account numbers in alphabetical order. Produced on computer output microfiche (COM).

**SECURITY MICROFICHE: Transfer to security storage; dispose of after 5 years.**

**MICROFICHE WORK COPY: Dispose of after 1 year.**

**45-7-31 MAJOR DISASTER DECLARATION**

Includes date of declaration, disaster, beginning date and number, type of disaster, state and counties affected.

**Dispose of after 3 years, subject to review by the State Archivist before disposal for possible accession.**

**45-7-32 MONTHLY TRANSACTION FOLDERS (OBSOLETE April, 1999)**

Monthly accounting work papers; inter-office memos; etc.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-34 NOTIFICATION OF CONTRIBUTION RATE (Form 133/128)**

Yearly notification of contribution rate and voluntary contribution report sent to the employer.

**SECURITY MICROFICHE: Transfer to security storage; dispose of after 10 years.**

**MICROFICHE WORK COPY: Dispose of after 10 years.**

**45-7-35 OUTSTANDING CHECK LISTING (OBSOLETE April 1999)**

A listing of outstanding unemployment checks at the end of each month. Lists the check number, date of issuance, claimant, dollar amount of check, and social security number of claimant.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-36 PAY ORDER CARDS**

Report filed by the individual claimant indicating they are unemployed and filing a claim for benefits, availability, and earnings.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-38 PURGED RECORDS, LISTING OF**

Computer listing is generated as needed and indicates what is put on tape from the on-line computer system.

**Dispose of after 5 years.**

**TAPE: Dispose of after 5 years.**

**45-7-54 QUALITY CONTROL GENERAL CORRESPONDENCE**

Miscellaneous forms and correspondence for the Quality Control Unit.

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-53 QUALITY CONTROL RECORDS**

These records are a compilation of documents gathered to determine propriety of unemployment insurance benefit eligibility. May include: Quality Control Audit Reports; Quality Control Batches; Random Audit Files (Random Audit Case Coding Lists) and others not specifically listed here.

**Transfer to the State Records Center after 1 year; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-55 RANDOM AUDIT WORK SEARCH SURVEYS AND SUMMARIES  
(OBSOLETE April 1999)**

Questionnaires completed by claimants, employers, and agency personnel concerning work search study. Results of completed study in summary form.

**Dispose of after 5 years.**

**45-7-59 REVENUE QUALITY CONTROL RECORDS**

Audits such as System Reviews, Acceptance Samples, Methods Surveys, performed on UI Tax functions which include: Status Determination, Cashiering, Report Delinquency, Collections, Filed Audit, Account Maintenance (Debit Billing, Contribution Reports, Benefit Charging, Tax Rate, Credit Refund).

**Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-41 UNEMPLOYMENT COMPENSATION PAYMENT (Form 1099-UC)**

Summary listing of statements indicating the amount of unemployment compensation received in a given year.

**PRINTOUT: Dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**SECURITY MICROFICHE: Transfer to security storage; dispose of after 5 years.**

**MICROFICHE WORK COPY: Dispose of after 5 years.**

**45-7-42 UNEMPLOYMENT COMPENSATION PAYMENT REPORT**

Monthly report lists the names of those receiving unemployment compensation and the amount.

**Dispose of after 1 year.**

**45-7-43 UNEMPLOYMENT INSURANCE CLAIM FILES (OBSOLETE  
April, 1999)**

The initial claim for benefits, monetary determination, non-monetary determination (if any), and all documents and correspondence pertaining to the claim for benefits.

**Transfer to the State Records Center after 2 years; dispose of after 5 years provided audit has been completed.<sup>1</sup>**

**45-7-56 WAGE SCHEDULES**

Quarterly report received from employers with their contribution report which lists employees' name, social security number, and total wages for the quarter.

**ORIGINAL RECORD: Dispose of after 10 years provided audit has been completed;<sup>1</sup>  
OR, microfilm and destroy originals.**

**SECURITY MICROFILM: Transfer to security storage; dispose of after 10 years provided audit has been completed.<sup>1</sup>**

**MICROFILM WORK COPY: Dispose of after 10 years provided audit has been completed.<sup>1</sup>**

**DELETED RECORDS:**

**45-7-1; 45-7-2 ; 45-7-4 THRU 45-7-6; 45-7-11; 45-7-17; 45-7-19; 45-7-21;  
45-7-22;  
45-7-24; 45-7-26; 45-7-33; 45-7-37; 45-7-39; 45-7-40; 45-7-44; 45-7-45**

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet